

**"PATENT"****DECLARATION FOR PATENT APPLICATION**

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled

**METHOD OF POLYMERIZATION**

the specification of which is attached hereto unless the following box is checked:

☒ was filed on May 17, 1999 as Application Serial No. or PCT International Application No. 09/312,878  
and was amended on \_\_\_\_\_ (if applicable).

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information which is material to the examination of this application in accordance with Title 37, Code of Federal Regulations, § 1.56.

I hereby claim foreign priority benefits under 35 U.S.C. § 119(a)-(d) or § 365(b) of any foreign application(s) for patent or inventor's certificate(s), or § 365(a) of any PCT International application which designated at least one country other than the United States, listed below and have also identified below, by checking the box, any foreign application(s) for patent or inventor's certificate(s), or PCT International application having a filing date before that of the application on which priority is claimed.

<u>Prior Foreign Application(s)</u>			<u>Priority Claimed</u>	
_____ (Number)	_____ (Country)	_____ (Day/Month/Year Filed)	<input type="checkbox"/> Yes	<input type="checkbox"/> No
_____ (Number)	_____ (Country)	_____ (Day/Month/Year Filed)	<input type="checkbox"/> Yes	<input type="checkbox"/> No

I hereby claim the benefit under 35 U.S.C. § 119(e)(1)-(2) of any United States provisional application(s) listed below.

_____ (Application Number)	_____ (Filing Date)
_____ (Application Number)	_____ (Filing Date)

I hereby claim the benefit under 35 U.S.C. § 120 of any United States application(s), or § 365(c) of any PCT International application designating the United States, listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT International application in the manner provided by the first paragraph of 35 U.S.C. § 112, I acknowledge the duty to disclose material information which is material to patentability as defined in 37 CFR § 1.56 which became available between the filing date of the prior application and the national or PCT International filing date of this application.

_____ (Application Serial No.)	_____ (Filing Date)	_____ (Status - patented, pending, abandoned)
_____ (Application Serial No.)	_____ (Filing Date)	_____ (Status - patented, pending, abandoned)

**POWER OF ATTORNEY:** As a named inventor, I hereby appoint the following attorney(s) and/or agent(s) to prosecute this application and transact all business in the Patent and Trademark Office connected therewith.

NAMES	REGISTRATION NUMBERS
Jaimes Sher	34,726
Catherine L. Bell	35,444
William G. Muller	32,281

SEND CORRESPONDENCE TO:	DIRECT TELEPHONE CALLS TO: (Name and Telephone Number)
Univation Technologies LLC 5555 San Felipe, Suite 1950 Houston, Texas 77056	(713) 892-3668 Facsimile No. (713) 892-3699

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

FULL NAME OF INVENTOR	LAST NAME McConville	FIRST NAME David		MIDDLE NAME H.
RESIDENCE & CITIZENSHIP	CITY Houston	STATE OR FOREIGN COUNTRY Texas		COUNTRY OF CITIZENSHIP Canada
POST OFFICE ADDRESS	POST OFFICE ADDRESS 4015 Cinnamon Fern Court	CITY Houston	STATE OR COUNTRY Texas	ZIP CODE 77059

Inventor's signature \_\_\_\_\_

Date \_\_\_\_\_

FULL NAME OF INVENTOR	LAST NAME Schrock	FIRST NAME Richard		MIDDLE NAME R.
RESIDENCE & CITIZENSHIP	CITY Winchester	STATE OR FOREIGN COUNTRY Massachusetts		COUNTRY OF CITIZENSHIP United States
POST OFFICE ADDRESS	POST OFFICE ADDRESS 15 Cabot Street	CITY Winchester	STATE OR COUNTRY Massachusetts	ZIP CODE 01890

Inventor's signature Richard R. Schrock

Date June 14, 1999

"PATENT"

## DECLARATION FOR PATENT APPLICATION

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Prior Foreign Application(s)Priority Claimed

_____ (Number)	_____ (Country)	_____ (Day/Month/Year Filed)	<input type="checkbox"/> [ ] Yes	<input type="checkbox"/> [ ] No
_____ (Number)	_____ (Country)	_____ (Day/Month/Year Filed)	<input type="checkbox"/> [ ] Yes	<input type="checkbox"/> [ ] No

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_____ (Application Serial No.)	_____ (Filing Date)	_____ (Status - patented, pending, abandoned)
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Univation Technologies LLC 5555 San Felipe, Suite 1950 Houston, Texas 77056	(713) 892-3668 Facsimile No. (713) 892-3699

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RESIDENCE & CITIZENSHIP	CITY Houston	STATE OR FOREIGN COUNTRY Texas		COUNTRY OF CITIZENSHIP Canada
POST OFFICE ADDRESS	POST OFFICE ADDRESS 4015 Cinnamon Fern Court	CITY Houston	STATE OR COUNTRY Texas	ZIP CODE 77059

Inventor's signature

*David H. McConville*

Date

*6/12/99*

FULL NAME OF INVENTOR	LAST NAME Schrock	FIRST NAME Richard		MIDDLE NAME R.
RESIDENCE & CITIZENSHIP	CITY Winchester	STATE OR FOREIGN COUNTRY Massachusetts		COUNTRY OF CITIZENSHIP United States
POST OFFICE ADDRESS	POST OFFICE ADDRESS 15 Cabot Street	CITY Winchester	STATE OR COUNTRY Massachusetts	ZIP CODE 01890

Inventor's signature

Date

**POWER OF ATTORNEY OR  
AUTHORIZATION OF AGENT,  
NOT ACCOMPANYING  
APPLICATION**

Application Number	09/312,878
Filing Date	May 17, 1999
First Named Inventor	David H. McConville
Group Art Unit	
Examiner Name	
Attorney Docket Number.	1999U019.US

I hereby appoint:

☐ Practitioners at Customer Number

DATE DOCKETED

*Place Customer  
Number Bar Code  
Label Here*

OR

☒ Practitioner(s) named below:

3/28/2001

By JAK

Attorney/Agent	Registration Number
Darrell E. Warner	36,046
Lisa Kimes Jones	41,878
Raul R. Montes	32,545

As my/our attorney(s) or agent(s) to prosecute the application identified above, and to transact all business in the Patent and Trademark Office connected therewith.

Please change the correspondence address for the above-identified application to:

☐ The above-mentioned Customer Number.

OR

☒ Firm or  
Individual Name Univation Technologies, LLC

Address 5555 San Felipe

Address Suite 1950

City Houston State Texas Zip Code 77056

Country United States of America

Telephone (713) 892-3668 Fax (713) 892-3687

I am the:

☐ Applicant

☒ Assignee of record of the entire interest

**SIGNATURE OF Applicant or Assignee of Record**

Name (Print/Type) Raul R. Montes, General Counsel and Secretary for Univation Technologies, LLC

Signature

*Raul R. Montes*

Date

3-17-01

404250 99/03/27

PATENT OFFICE MAIL ROOM – Please place the mail room date stamp on this card to indicate receipt by the Patent Office of the paper identified below and return same to us.

PAT  
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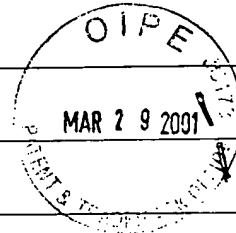
Application Serial No. 09/312,878

Date Filed: May 17, 1999

Type of Paper(s): Power of Attorney

Family No.: 19994019.45

Date Mailed: March 27, 2001



Family No.: 19994019.45

Date Mailed: March 27, 2001

# ASSIGNMENT

INVENTOR or INVENTORS:

David H. McConville

In consideration of One Hundred Twenty-five Dollars (\$125.00) and other good and valuable consideration, the receipt of which is hereby acknowledged, the undersigned person(s) named above, herein referred to as UNDERSIGNED, hereby agree(s) as follows:

1) UNDERSIGNED hereby assign(s) to Exxon Chemical Patents Inc., a corporation of Delaware, its successors, legal representatives and assigns, herein referred to collectively as ASSIGNEE, the entire right, title and interest, for the United States and all foreign countries, in and to UNDERSIGNED'S invention or improvement and to all patent applications and patents covering same which is described in a patent application entitled

## METHOD OF POLYMERIZATION

said application having been executed on the 12th and 14th day(s) of June 1999, and being further identified as Case No. 1999U019, U.S.S.N. 09/312,878, filed May 17, 1999; and all rights of priority created by said application under provisions of international conventions or treaties.

2) UNDERSIGNED agree(s) upon the request of ASSIGNEE to execute any and all applications for and documents relating to obtaining patents and the prosecution thereof for said invention or improvement, and any continuations of such applications or substitutes therefor or registrations thereof, and any specific separate assignments of any of the above required for recording in the United States Patent and Trademark Office and any foreign patent office that ASSIGNEE may deem necessary or expedient.

3) UNDERSIGNED agree(s) that in the event of any application based on said assigned invention or improvement, or patent issued thereon, or any reissue or application for the reissue thereof, becoming involved in priority of invention proceedings, UNDERSIGNED will cooperate with ASSIGNEE to the best of the ability of UNDERSIGNED in the matter of preparing and executing all documents and giving and producing evidence in support thereof.

4) UNDERSIGNED agree(s) to perform upon ASSIGNEE'S request any and all affirmative acts to obtain United States and foreign patents covering said invention or improvement and to vest all rights therein hereby conveyed to ASSIGNEE, as fully and as entirely as the same would have been held and enjoyed by UNDERSIGNED if this assignment and sale had not been made.

5) UNDERSIGNED hereby authorize(s) ASSIGNEE's attorney to insert at paragraph 1, in this instrument the date(s) on which UNDERSIGNED executed the Declaration for the above-referenced patent application, as well as the filing date and application number thereof when known.

IN WITNESS WHEREOF, this assignment has been executed by UNDERSIGNED on the date opposite UNDERSIGNED'S NAME.

DATE

6/12/99

David H. McConville

(LS)

Inventor

John J. Waff  
Witness

## ASSIGNMENT

In consideration of One Dollar (\$1.00) and other good and valuable consideration, the receipt of which is hereby acknowledged, I the undersigned Richard R. Schrock, 15 Cabot Street, Winchester, MA 01890 hereby

Sell, assign and transfer to **MASSACHUSETTS INSTITUTE OF TECHNOLOGY**, a Massachusetts corporation having a place of business at 77 Massachusetts Avenue, Cambridge, Massachusetts 02139, its successors, assigns and legal representatives, all hereinafter referred to as the Assignee, the entire right, title and interest for the United States and all foreign countries, in and to any and all inventions which are disclosed in the application for United States Letters Patent filed in the United States Patent and Trademark Office on May 17, 1999 under serial no. 09/312,878 and entitled **Method of Polymerization** said application and all divisional, continuing, substitute, renewal, reissue and all other applications for Letters Patent which have been or shall be filed in the United States and all foreign countries on any of said inventions; and in and to all original and reissued patents which have been or shall be issued in the United States and all foreign countries on said inventions including the right to apply for patent rights in each foreign country and all rights to priority.

I agree that said Assignee may apply for and receive Letters Patent for said inventions in its own name; and when requested, without charge to but at the expense of said Assignee, I agree to carry out in good faith the intent and purpose of this assignment, by executing all divisional, continuing, substitute, renewal, reissue, and all other patent applications on any and all said inventions, by executing all rightful oaths, assignments, powers of attorney and other papers, by communicating to said Assignee all facts known to me relating to said inventions and the history thereof, and generally by doing everything possible which said Assignee shall consider desirable for aiding in securing and maintaining proper patent protection for said inventions and for vesting title to said inventions and all applications for patents and all patents on said inventions, in said Assignee.

I hereby request the Honorable Commissioner of Patents and Trademarks to issue said Letters Patent to said Assignee.

I covenant with said Assignee that no assignment, grant, mortgage, license or other agreement affecting the rights and property herein conveyed has been made to others by me and that full right to convey the same as herein expressed is possessed by me.

August 2, 1999  
Date

Richard R. Schrock  
Richard R. Schrock

STATE OF Mass  
COUNTY OF Middlesex

Subscribed and sworn to before me this 2 day of August.

SEAL

Judith K. Shrytman  
Notary Public

My Commission Expires: \_\_\_\_\_



ASSIGNMENT

In consideration of One Dollar (\$1.00) and other good and valuable consideration, the receipt of which are hereby acknowledged, Exxon Chemical Patents, Inc., a corporation organized and existing under the laws of the State of Delaware, hereby assigns to Univation Technologies, LLC., a company organized and existing under the laws of the State of Delaware, an undivided one hundred percent (100%) interest of its one-half interest in and to the United States patent application entitled *Method of Polymerization*, said application identified as USSN 09/312,878, and filed on May 17, 1999, and in and to all continued prosecution, continuation, continuation-in-part, and/or divisional applications which may be generated therefrom in the United States of America, and to all applications which may be filed in accordance with the Patent Cooperation Treaty, Paris Convention, and/or any other international convention or treaty in any foreign countries.

Exxon Chemical Patents, Inc.

By: *DM Selman*  
Douglas M. Selman  
President

Date: *April 3, 2000*

IN WITNESS WHEREOF, this assignment has been executed by the abovesigned  
on *April 3*, 2000.

*Carolyn M. Lutz*  
Witness

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